



03-11-02

(Sealed)

PATENTS
112056-0006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re The Application of:
Joydeep sen Sarma et al.

Serial No.: 10/027,020

Filed: December 21, 2001

For: System and Method for Transferring
Volume Ownership in Networked
Storage

Examiner: Not Yet Assigned

Art Unit: 2171

Cesari and McKenna, LLP
88 Black Falcon Avenue
Boston, MA 02210
March 8, 2002

EXPRESS-MAIL DEPOSIT

"Express Mail" Mailing-Label Number: EL 736451010 US

The following papers are being deposited with the United States Postal Service
"Express Mail Post Office to Addressee" service pursuant to 37 C.F.R. §1.10:

X Oath or Declaration (3 pages)
X Assignment With Recordation Form
Cover Sheet (6 pages including Cover
Sheet)
X Information Disclosure Statement
X Formalities Letter

X Fee Transmittal Letter
X Check No. 23866 for \$170

X PTO-1449 and Copies of References
X Preliminary Amendment



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 170

Complete if Known

| | |
|----------------------|--------------------------|
| Application Number | 10/027,020 |
| Filing Date | December 21, 2001 |
| First Named Inventor | Joydeep sen Sarma et al. |
| Examiner Name | Not Yet Assigned |
| Group Art Unit | 2171 |
| Attorney Docket No. | 112056-0006 |

FEE CALCULATION (continued)

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number: 03-1237
Deposit Account Name: Cesari and McKenna, LLP

- ☒ Charge Any Additional Fee Required Under 37 C.F.R. §§1.16 and 1.17
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:
☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|--------------|--------------|----------|----------|----------|----------|------------------------|----------|
| 101 | 740 | 201 | 370 | | | Utility filing fee | |
| 106 | 330 | 206 | 165 | | | Design filing fee | |
| 107 | 510 | 207 | 255 | | | Plant filing fee | |
| 108 | 740 | 208 | 370 | | | Reissue filing fee | |
| 114 | 160 | 214 | 80 | | | Provisional filing fee | |
| SUBTOTAL (1) | | | | | | | 0 |

2. EXTRA CLAIM FEES

Total Claims: 20** = 0 x 0 = 0
Independent Claims: 3** = 0 x 0 = 0
Multiple Dependent: 0 = 0

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description |
|--------------|--------------|----------|----------|----------|----------|---|
| 103 | 18 | 203 | 9 | | | Claims in excess of 20 |
| 102 | 84 | 202 | 42 | | | Independent claims in excess of 3 |
| 104 | 280 | 204 | 140 | | | Multiple dependent claim, if not paid |
| 109 | 84 | 209 | 42 | | | **Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | | | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) 0

**or number previously paid, if greater; For Reissues, see below

3. ADDITIONAL FEES

| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description | Fee Paid |
|---------------------|--------------|----------|----------|----------|----------|--|----------|
| 105 | 130 | 205 | 65 | | | Fee Surcharge - late filing fee or oath | 130 |
| 127 | 50 | 227 | 25 | | | Surcharge - late provisional filing fee or cover sheet | |
| 139 | 130 | 139 | 130 | | | Non-English Specification | |
| 147 | 2,520 | 147 | 2,520 | | | For filing a request for ex parte reexamination | |
| 112 | 920 | 112 | 920* | | | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840 | 113 | 1,840* | | | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | | | Extension for reply within first month | |
| 116 | 400 | 216 | 200 | | | Extension for reply within second month | |
| 117 | 920 | 217 | 460 | | | Extension for reply within third month | |
| 118 | 1,440 | 218 | 720 | | | Extension for reply within fourth month | |
| 128 | 1,960 | 128 | 980 | | | Extension for reply within fifth month | |
| 119 | 320 | 219 | 160 | | | Notice of Appeal | |
| 120 | 320 | 220 | 160 | | | Filing a brief in support of an appeal | |
| 121 | 280 | 221 | 140 | | | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | | | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | | | Petition to revive - unavoidable | |
| 141 | 1,280 | 241 | 640 | | | Petition to revive - unintentional | |
| 142 | 1,280 | 242 | 640 | | | Utility Issue fee (or reissue) | |
| 143 | 460 | 243 | 230 | | | Design Issue fee | |
| 144 | 620 | 244 | 310 | | | Plant Issue fee | |
| 122 | 130 | 122 | 130 | | | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | | | Processing fee under 37 CFR 1.17(q) | |
| 126 | 180 | 126 | 180 | | | Submission of Information Disclosure Stmt | 40 |
| 581 | 40 | 581 | 40 | | | Recording each patent assignment per property (times number of properties) | |
| 146 | 740 | 246 | 370 | | | Filing a submission after final rejection (37 CFR 1.129(a)) | |
| 149 | 740 | 249 | 370 | | | For each additional invention to be examined (37 CFR 1.129(b)) | |
| 179 | 740 | 279 | 370 | | | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | | | Request for expedited examination of a design application | |
| Other fee (specify) | | | | | | | |
| Other fee (specify) | | | | | | | |
| SUBTOTAL (3) | | | | | | | 170 |

*Reduced by Basic Filing Fee Paid

SUBMITTED BY

Name (Print/Type): Duane H. Dreger

Registration No. (Attorney/Agent): 48,836

Complete (if applicable)

Telephone: (617) 951-2500

Date: March 8, 2002

Signature: *Duane H. Dreger*

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Office, U.S. Patent and Trademark Office, Washington, DC

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UNITED STATES PATENT AND TRADEMARK OFFICE

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UNITED STATES PATENT AND TRADEMARK OFFICE
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www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 10/027,020 | 12/21/2001 | Joydeep sen Sarma | 112056-0006 |

24267
CESARI AND MCKENNA, LLP
88 BLACK FALCON AVENUE
BOSTON, MA 02210



CONFIRMATION NO. 1111

FORMALITIES LETTER



OC000000007367523

Date Mailed: 01/25/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

*A copy of this notice **MUST** be returned with the reply.*

E. Hailu

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

02/13/2002 09:00:00 00000004 10027020
01:50:105
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